



jc891 U.S. PTO

PATENT  
ATTORNEY DOCKET NO.: 053136-5001



jc841 U.S. PTO  
09/760745

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
**BOX PATENT APPLICATION**  
Washington, D.C. 20231

**TRANSMITTAL FOR A NEWLY EXECUTED ORIGINAL APPLICATION  
UNDER 37 C.F.R. §1.53(b)**

This is a request for filing a patent application under 37 C.F.R. §1.53(b) for:

Inventor: John J. Purcell III

For: **A SYSTEM AND METHOD FOR ONLINE DELIVERY OF INVESTOR  
DOCUMENTS AND TABULATION AND PROCESSING OF CERTAIN INVESTOR  
INSTRUCTIONS**

1. This is a new ☒ **Utility** ☐ **Design** ☐ **Plant** patent application.
2. The papers enclosed to obtain a filing date are as follows:  
31 Pages of Specification including  
1 Title Page  
8 Pages of Claims  
1 Page of Abstract  
7 Sheets of drawings containing 7 Figures
3. Combined Declaration and Power of Attorney  
☒ Enclosed and is executed by all inventors.  
☐ Not Enclosed.  
This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
Applicant(s) await notification from the Patent and Trademark Office of the time  
set for filing the Declaration and paying the filing fees.

## 4. Language

☒ English☐ Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

## 5. Assignment

☒ An assignment of the invention to Mediant Communications Inc. and a PTO-Form-1595, Recordation Form Cover Sheet, are enclosed.

☐ An assignment will be filed at a later date.

## 6. Priority - foreign applications under 35 U.S.C. §119(a)-(d) or §365(b) or PCT international applications under 35 U.S.C. §365(a) designating at least one country other than the U.S.

☐ Priority of the following foreign application is claimed:

Country	Application No.	Filed

Certified copy: ☐ is attached. ☐ will follow.

## 7. Priority based on provisional application(s) - 35 U.S.C. §119(e)

☒ Priority of the following provisional application(s) is claimed:

Application No.	Filed
60/197,602	April 18, 2000

A. Relate Back - 35 U.S.C. §119(e)

- ☒ Amend the specification by inserting before the first line the sentence:  
 "This application claims priority of copending provisional application(s)  
 No. 60/197,602 filed on April 18, 2000."



8. Small entity status

- ☒ Small entity status under 37 C.F.R. §§1.9 and 1.27 is asserted for the present application.

9. Fee Calculation (37 C.F.R. §1.16)

CLAIMS FOR FEE CALCULATION				
	Number Filed	Number Extra	at Rate of	Basic Fee Utility \$710.00 Design \$320.00
Total Claims (37 C.F.R. §1.16(c))	34	-20=14	\$ 18.00 each=	\$ 252.00
Independent Claims (37 C.F.R. §1.16(b))	7	-3=4	\$ 80.00 each=	\$ 320.00
Multiple dependent claim(s), if any (37 C.F.R. §1.16(d))			\$270.00	+
SUB-TOTAL =				\$1282.00
Reduction by 1/2 for filing by a small entity				- \$ 641.00
TOTAL FILING FEE =				\$ 641.00

10. Fee Payment

- ☐ Not Enclosed. **NO FEE IS BEING PAID BY CHECK OR DEPOSIT ACCOUNT AT THIS TIME.**

This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
 Applicant(s) await notification from the Patent and Trademark Office of the time  
 set for filing the Declaration and paying the filing fees.

- ☒ Enclosed.  
 Two checks in the amount of **\$641.00** and **\$40.00** to cover the basic filing fee of  
 \$355.00, additional claims fee of \$286.00 and \$40.00 to cover the Assignment  
 Recordation Fee is enclosed.



- ☐ The Commissioner is hereby authorized to charge \_\_\_\_\_ and any additional extension of time fee or additional fee for claims due to Deposit Account No. 50-0310.
11. ☒ **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).
12. Additional papers enclosed:
- ☐ Preliminary Amendment
  - ☐ Information Disclosure Statement
  - ☐ Form PTO-1449, \_\_\_\_\_ documents included
  - ☐ Declaration of Biological Deposit
  - ☐ Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

Please accord this application an application number and filing date.

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

*Donald L. Monin, Jr.*

Donald L. Monin, Jr.

Reg. No. 47,256

Dated: January 17, 2001

**Customer No. 009629**

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